

**Integrated Care Board**  
**Planning and Finance Committee**  
**Terms of Reference**

**22 June 2022**

**1. Introduction**

- 1.1. The NHS South East London Integrated Care Board (ICB) Planning and Finance Committee [the “committee”] is established as a committee of the ICB.
- 1.2. These Terms of Reference set out the role, responsibilities, membership, and reporting arrangements of the committee under its terms of delegation from the ICB Board. The committee’s powers relate specifically to these terms of reference, which can only be amended by the ICB Board.
- 1.3. All members of staff and members of the ICB will be expected to co-operate with any requests made by the Planning and Finance Committee.

**2. Purpose**

- 2.1. The committee is responsible for overseeing and coordinating the Integrated Care Board’s planning processes, across strategic and operational planning. The committee is also responsible for supporting wider system level strategic planning undertaken by the south east London Integrated Care Partnership (ICP). This planning responsibility includes convening the system to secure the delivery of inclusive, collaborative and fit for purpose planning processes and approaches as well as agreement and delivery of effective and robust planning outcomes.
- 2.2. The committee is responsible for overseeing and coordinating the ICB’s financial planning process, inclusive of recovery planning. It will ensure that financial plans are driven by agreed strategic and operational outcome objectives, ensure planning processes and outputs are aligned across the partnership, and that compliance with national financial guidance is achieved.
- 2.3. The committee is responsible for ensuring planning processes secure appropriate input from ICB and ICP stakeholders at organisational, Local Care Partnership, provider collaborative, programme and enabler board level to ensure comprehensive plans that represent a coherent and joined up whole.

- 2.4. The committee will monitor and oversee the delivery of commitments across the key planning domains and ensure a collective understanding of delivery challenges, issues and variation. This will include oversight of overarching delivery and that secured through its local care partnerships, provider collaboratives, programme and enabler boards, alongside ensuring that where there is variance from plan or delivery challenges there is a timely development of mitigation plans.
- 2.5. The committee will review and recommend policies and procedures for the ICB, with a specific focus on those related to the ICB's planning and finance functions.
- 2.6. The committee is responsible for overseeing the work relating to Information Governance

### **3. Duties**

#### Strategic planning

- 3.1. The committee is responsible for overseeing the ICB's contribution to the development of the Integrated Care Partnership integrated care strategy. This includes:
  - Input to the development of agreed planning processes and outputs.
  - Working to ensure the delivery of an effective, robust and fit for purpose integrated care strategic plan.
  - Working with the Integrated Care Board and constituent organisations to ensure a robust and effective ICB input to the ICP integrated care strategy.
  - Ensuring health and social inequalities are taken into account in strategic planning.
- 3.2. The committee is responsible for leading the coordination and development of the ICB's strategic plan, ensuring that this plan:
  - Secures the ICB's contribution to the delivery of the objectives and outcomes set out in the ICP integrated care strategic plan.
  - Secures locally developed priorities and objectives.
  - Secures NHS planning guidance priorities and objectives.
  - Ensures a triangulated, feasible and coherent whole, including a proposed approach to prioritisation if required.
  - Optimises the opportunities associated with an integrated care system, including collaborative and collective approaches to securing agreed population and service outcomes.

### Operational planning

- 3.3. Leading the coordination and development of the ICB operational plan ensuring that these plans:
- Secure locally developed priorities and objectives.
  - Secure NHS planning guidance priorities and objectives.
  - Effectively join up operational delivery, activity, workforce, and finance plans, to ensure a feasible and coherent whole.
  - Optimise collaborative and collective approaches, pathway transformation, productivity and efficiency and risk and gain share to underpin and support delivery

### Financial planning

- 3.4. The committee is further responsible for setting the financial framework for the ICB and overseeing the financial planning process including:
- Developing the ICB financial information systems and processes to support effective financial planning in line with the local strategy and national guidance.
  - Developing a Medium-Term Financial Strategy (MTFS) that sits alongside the ICB strategic plans, acting as an enabler to the wider plan whilst also providing the underpinning financial framework.
  - The alignment of wider financial planning to ensure that capital, revenue and estates funding and plans are demonstrably driven by our strategic and operational outcome objectives.
  - The development of options and approaches to the allocation of ICB resource that support the ICB in addressing inequalities in investment and outcomes and considers health and social inequalities.
  - Advising on and overseeing the process regarding the deployment of system-wide transformation funding.
  - Working with partners to identify and allocate resources where appropriate to address finance and performance related issues that may arise.
  - The development of a financial recovery plan that is aligned to strategic and operational efficiency and transformation opportunities and supports the ICB in moving to a position of underlying financial balance.
  - The development of annual financial plans that support the delivery of the ICB's operational plans inclusive of annual financial targets, the ICB's MTFS and agreed allocation and budget setting approaches
  - To advise the ICB on any changes to NHS and non-NHS funding regimes and consider how the funding available to the ICB can be best used.
  - To ensure appropriate information is available to manage financial issues, risks and opportunities across the ICB.

### Programme and Enabler Boards, Local Care Partnerships and Provider Collaboratives

- 3.5. The committee will be responsible for ensuring that the ICB's Programme and Enabler Boards, Local Care Partnerships and Provider Collaboratives play a full role in the development of agreed strategic and operational plans, including:
- Ensuring the priorities, objectives and opportunities arising from these key parts of our system architecture are considered in the wider planning process.
  - Ensuring that strategic and operational objectives, priorities and outcomes of the ICB are included in agreed work plans for these groups and encompassed in delegation agreements as appropriate.

### Planning for and management of NHS England delegations

- 3.6. The committee is responsible for overseeing the safe transfer of delegated functions from NHS England to the Integrated Care Board. This will include providing assurance around and appropriate planning to secure the safe transfer of specialised services and primary care from 2023/24.

## **4. Delivery monitoring and management**

### Strategic and operational plans

- 4.1. The committee is responsible for providing oversight and assurance in relation to the delivery of agreed plans including:
- Monitoring the ICB's strategy and operational plan alongside the NHS's contribution to the wider ICP integrated care strategy.
  - Receiving delivery and outcomes updates and reports and ensuring these enable the effective tracking and monitoring of progress alongside the identification of challenges, issues and barriers to delivery.
  - Where remedial action is required, to address variance to plan, the committee will ensure that this is in place and that progress is made in delivering it.
  - Ensuring that issues and lessons learnt are identified and fed in to future planning and refresh processes.

### Financial Reporting, Performance and Delivery

- 4.2. The committee is responsible for providing oversight of and assurance in relation to financial reporting, performance and delivery, including:
- The development of a reporting framework for the ICB as a statutory body working with ICS partners to identify and agree common approaches such as financial reporting, estimates and judgements and develop financial and activity modelling.

- To articulate the financial position and financial impacts (both short and long-term) to support decision-making.
- To oversee the management of the system financial target and the ICB's own financial targets, agreeing key outcomes to assess delivery of the ICB financial strategy, monitoring and reporting to the Board overall financial performance against national and local metrics, highlighting areas of concern.
- To ensure system efficiencies are identified and monitored across the ICB with a focus on opportunities at system level
- To ensure financial resources are used in an efficient way to deliver the objectives of the ICB.
- To review exception reports on any material variance from agreed plans including assessing the adequacy of proposed remedial action plans across revenue and capital envelopes.

### Programme and Enabler Boards, Local Care Partnerships and Provider Collaboratives

- 4.3. The committee will work with the ICB's Programme and Enabler Boards, Local Care Partnerships and Provider Collaboratives to secure the monitoring information required to track delivery of agreed objectives and plans in line with the ICB's agreed roles and responsibilities and delegation agreements.
- 4.4. The committee will further work with the Quality and Performance Committee to ensure effective triangulation and join up across the committee's strategic and operational plan monitoring and management and the more detailed delivery oversight that will take place with regards quality and performance through that committee.

### Risk identification and management

- 4.5. Approval of the ICB's risk management arrangements where they relate to the specific responsibilities of the Planning and Finance Committee such as financial risk management. The identification and proactive management of key strategic and operational risks. These risks will be included in the Board Assurance Framework (BAF) / risk report, which the committee will oversee and make available to the ICB Board.

### Governance, policies and procedures

- 4.6. Approval of key ICB policies and procedures associated with the key responsibilities of the Planning and Finance Committee, to include: financial policies, proposals for action on significant litigation and claims handling against or on behalf of the ICB, the ICB's arrangements for business continuity and emergency planning, appropriate safekeeping and confidentiality of records and for the storage, management and transfer of information and data, arrangements for discharging the ICB's statutory duties associated with its commissioning functions, information governance, provider selection regime.

- 4.7. To review ICB procurements in line with the Scheme of Reservation and Delegation and Schedule of Matters Delegated to Officers, plus the ICB's Provider Selection Regime policy.

### System Oversight

- 4.8. Oversee, approve or recommend regulator requests for assurance or information where these relate to areas of business within the scope of the committee and ensure that agreed actions are delivered by the ICB

## **5. Accountabilities, authority, and delegation**

- 5.1. The authority delegated to the committee is set out in the ICB's Scheme of Reservation and Delegation.
- 5.2. Formal decisions of the committee will need agreement from a majority of members present at the committee meeting.
- 5.3. The committee will undertake an advisory function where a decision is required beyond the above stated levels of delegation. In this, the committee will notify the ICB Board of items for decision.
- 5.4. The committee may establish any working group or task and finish group to lead work under a defined term of reference / engagement. The committee must agree by majority on the establishment of any of the groups and formally agree their terms of reference.
- 5.5. The committee is delegated decision-making powers to:
- Lead the oversight of the delivery of all in-scope functions / responsibilities on behalf of the ICB Board
  - Provide assurance to the ICB Board that actions and plans put in place are appropriate, adequate and followed through as anticipated
  - Agree remedial action plans as required.
  - Agree the commitment of ICB resources related to all areas within the committee's scope and in line with the Scheme of Delegation and Schedule of Matters Delegated to Officers.
- 5.6. The committee is responsible for overseeing the work relating to information governance, finance and strategic planning.
- 5.7. The role of the above sub-committees is described in further detail in the ICB's Governance Handbook and appended terms of reference.

- 5.8. Sub-committees will usually meet monthly and report to the Planning and Finance Committee on their activities via an agreed sub-committee report, which will highlight any recommendations for the committee to review and approve; and items of sub-committee business that the committee should note.

### **6. Membership and attendance**

- 6.1. The committee will be constituted of the following members:

- 1 x Partner Member (Chair)
- 2 x ICB Non-Executive members (including the ICB Board Chair)
- ICB Chief Officer
- ICB Director of Planning
- ICB Chief Financial Officer
- ICB Medical Director
- ICB Chief Nursing Officer
- ICB Chief of Staff
- Finance lead from each of the mental health and acute collaboratives
- Strategic/operational lead for each of the Acute Provider Collaborative and South London Partnership
- 6 x Place Executive leads

Members in attendance:

- Director of Public Health
- Healthwatch representative

- 6.2. Any member of the ICB Board additional to those listed as committee members may join the committee in attendance.
- 6.3. Other individuals from across the Integrated Care System may be invited to attend as required.
- 6.4. The committee is permitted, with agreement of the ICB chair to formally co-opt additional members and/or other subject matter specialists to broaden the range of input should this be deemed necessary.



## **7. Chair of meeting**

- 7.1. The meeting will be chaired by a partner member of this committee. The deputy chair will be a non-executive member of this committee.
- 7.2. At any meeting of the committee, the chair if present shall preside. If the chair is absent, the deputy chair shall preside. If the chair is temporarily absent on the grounds of conflict of interest, the deputy chair shall preside.

## **8. Quorum and conflict of interest**

- 8.1. The quorum of the committee is at least 50% of members of which the following must be present:
  - 1 x ICB Non-Executive member
  - ICB Director of Planning
  - ICB Chief Financial Officer
  - ICB Chief Medical Officer or Chief Nursing Officer
  - 2 x Place Executive leads
  - 1x Provider Collaborative lead
- 8.2. The committee will operate with reference to NHS England guidance and national policy requirements and will abide by the ICB's standards of business conduct. Compliance will be overseen by the chair of the committee.
- 8.3. The committee agrees to enact its responsibilities as set out in these terms of reference in accordance with the Seven Principles of Public Life set out by the Committee on Standards in Public Life (the Nolan Principles).
- 8.4. Committee members will be required to declare any interests they may have in accordance with the ICB's Conflict of Interest Policy (included within the Standards of Business Conduct Policy). Members will follow the process and procedures outlined in the policy in instances where conflicts or perceived conflicts arise.

## **9. Decision-making**

- 9.1. Where a decision is required, it is expected that this will be reached by consensus. Where a vote is required to decide a matter, each member may cast a single vote and decisions will require a simple majority. In the event of equal votes, the chair will have a casting vote.



## 10. Procedure of decisions made outside of formal meetings

- 10.1. The committee chair will arrange for the notice of the business to be determined and any supporting paper to be sent to members by email. The email will ask for a response to be sent to the committee chair by a stated date. A decision made in this way will only be valid if the same minimum quorum described in the above paragraph, expressed by email or signed written communication, by the stated date for response, states that they are in favour.
- 10.2. The ICB's corporate and business support team will retain all correspondence pertaining to such a decision for audit purposes and report decisions so made to the next meeting. A clear summary of the issue and decision agreed will then be recorded in the minutes of that meeting.

## 11. Frequency

- 11.1. The committee will meet monthly and a minimum of six times over the course of a year.
- 11.2. All members will be expected to attend all meetings or to provide their apologies in advance should they be unable to attend.
- 11.3. Members are responsible for identifying a suitable deputy should they be unable to attend a committee meeting which needs to be agreed with the chair, and notified to the meeting secretariat, in advance.
- 11.4. Nominated deputies will count towards the meeting quorum if attendance has been agreed by the committee chair.
- 11.5. Members and staff from ICS partner organisations are expected to contribute to reasonable requests for information and input to the work undertaken by the committee.

## 12. Reporting

- 12.1. Papers will be made available five working days in advance to allow members to discuss issues with colleagues ahead of the meeting. Members are responsible for seeking appropriate feedback.
- 12.2. The committee will report on its activities to the ICB Board via minutes and any further agreed ICB reporting requirements.
- 12.3. The minutes of meetings shall be formally recorded and reported to the ICB Board for the purposes of assurance.

**13. Committee support**

- 13.1. The committee will be supported by members of the ICB's governance team.
- 13.2. The meeting secretariat will ensure that draft minutes are shared with the chair for approval within three working days of the meeting. Draft minutes with the chair's approval will be circulated to members together with a summary of activities and actions within five working days of the meeting.

**14. Monitoring adherence to the Terms of Reference**

- 14.1. The chair of the committee will be responsible for ensuring the committee abides by the terms of reference.

**15. Review of Arrangements**

- 15.1. The committee shall undertake a self-assessment of its effectiveness on at least an annual basis. This may be facilitated by independent advisors if the committee considers this appropriate or necessary.
- 15.2. These terms of reference shall be reviewed by the committee chair and ICB chair on an annual basis, in the context of the self-assessment and any changing business requirements, with changes proposed for approval to the ICB Board.